

10/581256

AP3 Rec'd PCT/PTO 31 MAY 2006

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of :
Mitsuhiro OKUNE et al. : **Mail Stop: PCT**
Serial No. NEW : Attorney Docket No. 2006_0772A
Filed May 31, 2006 :

PLASMA ETCHING METHOD
[Corresponding to PCT/JP2004/017622
Filed November 26, 2004]

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

Pursuant to the provisions of 37 CFR 1.56, 1.97 and 1.98, Applicants request consideration of the references listed on attached form PTO-1449 and any additional information identified below in paragraph 3. A legible copy of each reference listed on the Form PTO-1449 is enclosed, except a copy is not provided for:

- ☒ each U.S. Patent and U.S. Patent application publication;
- ☐ each reference previously cited in the international application
PCT/_____; and/or
- ☐ each reference previously cited in prior parent application Serial No.
_____.

1a. ☒ This Information Disclosure Statement is submitted:

within three months of the filing date (or of entry into the National Stage) of the
above-entitled application, or

before the mailing of a first Office Action on the merits or the mailing of a first Office
Action after the filing of an RCE,

ATTACHMENT D

and thus no certification and/or fee is required.

- 1b. ☐ This Information Disclosure Statement is submitted

after the events of above paragraph 1a and prior to the mailing date of a final Office Action or a Notice of Allowance or an action which otherwise closes prosecution in the application, and thus:

- (1) ☐ the certification of paragraph 2 below is provided, **or**
(2) ☐ the fee of \$180.00 specified in 37 CFR 1.17(p) is enclosed.

- 1c. ☐ This Information Disclosure Statement is submitted:

after the mailing date of a final Office Action or Notice of Allowance or action which otherwise closes prosecution in the application, and prior to payment of the issue fee, and thus:

**the certification of paragraph 2 below is provided, and
the fee of \$180.00 specified in 37 CFR 1.17(p) is enclosed.**

2. It is hereby certified

- a. ☐ that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the Statement, or
b. ☐ that no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing the certification after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three months prior to the filing of the Statement.

3. ☐ Consideration of the following list of additional information (including any copending or abandoned U.S. application, prior uses and/or sales, etc.) is requested.

4. For each non-English language reference listed on the attached form PTO-1449, reference is made to:
- a. ☒ a full or partial English language translation submitted herewith,
 - b. ☒ the International Search Report (in the English language) submitted herewith,
 - c. ☒ the concise explanation contained in the specification of the present application at pages 2 and 3,
 - d. ☒ the concise explanation set forth in the attached English language abstract,
 - e. ☒ the concise explanation set forth below or on a separate sheet attached to the reference:

JP 2001-244325 corresponds to U.S. 2001/0023960;
JP 2003-533869 corresponds to WO 01/61750;
JP 2002-542623 corresponds to U.S. 2001/0001743 and WO 00/63960;
JP 06-349784 corresponds to U.S. 5,498,312;
JP 2001-284283 corresponds to U.S. 2001/0028093, U.S. 6,633,072, U.S. 6,479,392 and U.S. 2004/033692;
JP 2000-299310 corresponds U.S. 6,277,756;
JP 60-050923 corresponds U.S. 4,579,623;
JP 7-503815 corresponds U.S. 5,501,893.

5. ☐ A foreign patent office search report citing one or more of the references is enclosed.

Respectfully submitted,

Mitsuhiro OKUNE et al.

By



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May 31, 2006

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| Sheet 1 of 2 | | INFORMATION DISCLOSURE STATEMENT | | | | | | | | | |
|--|----|----------------------------------|---------|-------------------------------------|-----------------|-------------------|-------------------------------|-------|--|--|--|
| FORM PTO 1449 (modified) U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE LIST OF REFERENCES CITED BY APPLICANT(S) <i>(Use several sheets if necessary)</i> Date Submitted to PTO: May 31, 2006 | | | | ATTY DOCKET NO. 2006_0772A | | SERIAL NO. NEW | | | | | |
| | | | | APPLICANT Mitsuhiro OKUNE et al. | | | | | | | |
| | | | | FILING DATE May 31, 2006 | | | | GROUP | | | |
| U.S. PATENT DOCUMENTS | | | | | | | | | | | |
| *EXAMINER INITIAL | | DOCUMENT NUMBER | DATE | NAME | CLASS | SUBCLASS | FILING DATE IF APPROPRIATE | | | | |
| | AA | 2001/0023960 | 9/2001 | Soga et al. | | | | | | | |
| | AB | 2001/0001743 | 5/2001 | McReynolds | | | | | | | |
| | AC | 5,498,312 | 3/1996 | Laermer et al. | | | | | | | |
| | AD | 2001/0028093 | 10/2001 | Yamazaki et al. | | | | | | | |
| | AE | 6,633,072 | 10/2003 | Yamazaki et al. | | | | | | | |
| | AF | | | | | | | | | | |
| FOREIGN PATENT DOCUMENTS | | | | | | | | | | | |
| | | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUBCLASS | TRANSLATION YES NO | | | | |
| | AG | 2001-244325 | 9/2001 | JP | | | Abstract | | | | |
| | AH | 2003-533869 | 11/2003 | JP | | | | | | | |
| | AI | 01/61750 | 8/2001 | WO | | | | | | | |
| | AJ | 2002/542623 | 12/2002 | JP | | | | | | | |
| | AK | 00/63960 | 10/2000 | WO | | | | | | | |
| | AL | 06/349784 | 12/1994 | JP | | | Abstract | | | | |
| OTHER DOCUMENT(S) (Including Author, Title, Date, Pertinent Pages, Etc.) | | | | | | | | | | | |
| | AM | | | | | | | | | | |
| | AN | | | | | | | | | | |
| | AO | | | | | | | | | | |
| EXAMINER | | | | | DATE CONSIDERED | | | | | | |

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include cop. this form with next communication to applicant.

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Sheet 2 of 2

INFORMATION DISCLOSURE STATEMENT

FORM PTO 1449 (modified)

U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICELIST OF REFERENCES CITED BY APPLICANT(S)
(Use several sheets if necessary)

Date Submitted to PTO: May 31, 2006

ATTY DOCKET NO.
2006_0772ASERIAL NO.
NEWAPPLICANT
Mitsuhiro OKUNE et al.FILING DATE
May 31, 2006

GROUP

U.S. PATENT DOCUMENTS

| *EXAMINER INITIAL | | DOCUMENT NUMBER | DATE | NAME | CLASS | SUBCLASS | FILING DATE IF APPROPRIATE |
|----------------------|----|--------------------|---------|-----------------|-------|----------|-------------------------------|
| | BA | 6,479,392 | 11/2002 | Yamazaki et al. | | | |
| | BB | 2004/0033692 | 2/2004 | Yamazaki et al. | | | |
| | BC | 6,277,756 | 8/2001 | Ohara et al. | | | |
| | BD | 4,579,623 | 4/1986 | Suzuki et al. | | | |
| | BE | 5,501,893 | 3/1996 | Laermer et al. | | | |
| | BF | | | | | | |

FOREIGN PATENT DOCUMENTS

| | | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUBCLASS | TRANSLATION YES NO |
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| | BG | 2001-284283 | 10/2001 | JP | | | Abstract |
| | BH | 2003-303812 | 10/2003 | JP | | | Abstract & Partial Translation |
| | BI | 2000-299310 | 10/2000 | JP | | | Abstract |
| | BJ | 03/030239 | 4/2003 | WO | | | Abstract & Partial Translation |
| | BK | 60-050923 | 3/1985 | JP | | | Abstract |
| | BL | 7-503813 | 4/1995 | JP | | | |

OTHER DOCUMENT(S) (Including Author, Title, Date, Pertinent Pages, Etc.)

| | | |
|--|----|--|
| | BM | |
| | BN | |
| | BO | |

EXAMINER

DATE CONSIDERED

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include cop. this form with next communication to applicant.